

## **DEPARTMENT OF JUSTICE**

### **Bureau of Justice Statistics**

#### **2004 National Prisoner Survey of Juvenile Sexual Assault**

**AGENCY:** Bureau of Justice Statistics, Office of Justice Programs, U.S. Department of Justice

**ACTION:** Notice of Solicitation

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**SUMMARY:** The purpose of this notice is to announce a public solicitation to obtain a collection agent through a Cooperative Agreement to develop, design, and field test survey instruments specifically for confined juveniles as part of the National Prisoner Survey of Juvenile Sexual Assault (NPS-JSA) collection and to prepare an implementation plan for fielding the collection in 2006.

**DATES:** Proposals must be received at the Bureau of Justice Statistics (BJS), by June 10, 2004, 5 PM, EDT, to be eligible for consideration.

**ADDRESSES:** The Office of Justice Programs (OJP) requires that funding applications be submitted through the OJP Grant Management System (GMS). Using an established Internet account, go to [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm)

**FOR FURTHER INFORMATION CONTACT:** Paige Harrison, Statistician, Bureau of Justice Statistics, 810 Seventh Street, Washington DC 20531; phone (202) 514-0809; e-mail: [harrisop@ojp.usdoj.gov](mailto:harrisop@ojp.usdoj.gov) or Timothy Hughes, Statistician, Bureau of Justice Statistics; phone (202) 305-9014; e-mail: [hughesti@ojp.usdoj.gov](mailto:hughesti@ojp.usdoj.gov)

**AUTHORITY:** 42 U.S.C. 3732; Public Law 108-79

#### **SUPPLEMENTARY INFORMATION:**

##### **Program Goals**

The purpose of this award is to provide funding for a collection agent to work closely with the Bureau of Justice Statistics (BJS) to design, develop, and field test an Audio Computer-Assisted Self-Interview (ACASI) instrument and a Paper and Pencil Interview (PAPI) instrument for the National Prisoner Survey of Juvenile Sexual Assault (NPS-JSA), as well as prepare a national implementation plan for fielding the NPS-JSA in 2006. Both instruments will be administered to juveniles in residential placement as part of implementing the data collection mandate of the Prison Rape Elimination Act of 2003 (P.L. 108-79). BJS anticipates making one award, not to exceed \$2.0 million, for an 18-month period under this solicitation.

This survey is part of the National Prison Rape Statistics program (NPRS), a recurring survey series which will collect and analyze data on the incidence and prevalence of sexual assault among individuals held in Federal and State prisons, local jails, and juvenile facilities as well as former inmates. The NPRS is being developed following passage of the Prison Rape Elimination Act of 2003 (P.L. 108-79). The Bureau of Justice Statistics (BJS), the statistical agency of the U.S. Department of Justice, is statutorily authorized to collect, compile, analyze, publish, and disseminate uniform national statistics concerning all aspects of criminal justice and related components of the criminal justice system. BJS is responsible for collecting data for the NPRS. Findings from the NPRS will be used to develop and implement national standards for detection, prevention, and reduction of sexual assault within correctional facilities.

At present there is no reliable collection methodology for measuring sexual assault in correctional facilities. The major reason for the absence of reliable estimates of the incidence and prevalence of sexual assault in correctional facilities is the inherent difficulty of collecting such sensitive data. Most prior attempts to measure the prevalence of sexual assault have utilized either personal interviews of inmates or self-administered inmate questionnaires and were conducted in adult correctional facilities.

BJS has repeatedly encountered problems collecting self-reports of sexual assault in past inmate surveys. In fact, some inmates are so reluctant to speak about the topic that it not only prevents the collection of that information, but also negatively affects participation in the remainder of the interview. Youth in facilities may exhibit the same reluctance.

To address these methodological problems, BJS proposes development of an ACASI instrument to measure incidents of sexual assault in juvenile facilities. The ACASI format would involve juveniles responding to a computer questionnaire, following audio instructions delivered via headphones. It is anticipated that, by removing the presence of a personal interviewer, this methodology will increase the willingness of victims to report sensitive information. At the same time, the conditions under which the survey is administered can be controlled, unlike current methods that allow respondents to complete a self-administered questionnaire whenever and wherever they choose. Finally, the audio component may reduce problems associated with low levels of literacy among the participants.

Collecting data from youth under the supervision of juvenile justice authorities has the additional burden of requiring consent from parents or legal guardians prior to participation in the survey. While administrators in some juvenile facilities are able to consent on behalf of the parent or guardian, other administrators are not, depending on the laws of the State or locality. The Recipient will develop and test alternative methods to obtain consent as required from the administrator, parent, or guardian.

Due to the short time most juveniles are confined, the survey methods must sample youth throughout a year to obtain reliable facility-level estimates. Audio-CASI may be prohibitively expensive and disruptive to facility operations were they to be conducted repeatedly or over a

long period of time. As a result, the Recipient will also develop, test, and deliver a supplemental paper and pencil interview (PAPI) instrument to be completed by juvenile residents at their time of release. The questionnaires will be self-administered, using facility staff to manage distribution and collection.

### **Eligibility Requirements**

Both profit and non profit organizations may apply for funds. Consistent with OJP fiscal requirements, however, no fees may be charged against the project by profit-making organizations.

### **Scope of Work**

The objectives of this project are to (1) develop ACASI and PAPI instruments for the NPS-JSA for use by confined juveniles; (2) design data collection methodologies which will be successful in juvenile correctional facilities in accordance with the applicable privacy, confidentiality, and human subjects protection requirements; (3) develop effective procedures to obtain the informed consent of each survey respondent or where applicable law allows, the consent of a legally authorized representative prior to participation in the survey; (4) explore alternative sampling methodologies for producing reliable facility-level estimates; (5) develop procedures that minimize collection costs and potential disruption of facility operations; (6) develop methods and statistical models for assessing the reliability of self-reported sexual assaults by juveniles; (7) conduct field tests of the ACASI and PAPI instruments in a sample of juvenile and youthful offender facilities; (8) develop methods to ensure confidentiality and encourage participation; and (9) provide an implementation plan for the national data collection to begin in 2006.

Specifically, the Recipient of funds will:

1. Develop a detailed timetable for each task in the project. The field tests of the ACASI and PAPI instruments should begin within approximately 10 months of the project start and be completed within 18 months. All deliverables are due within 18 months. After the BJS Project Manager (PM) has agreed to the timetable, all work must be completed as scheduled.
2. Design and develop ACASI and PAPI instruments for the NPS-JSA. The Recipient shall develop the instrument in collaboration with the PM. The ACASI and PAPI instruments shall be developed in English and Spanish. The instruments must maximize respondent cooperation and confidentiality, be easily understood by a respondent with a 4<sup>th</sup> grade education, and not exceed an average respondent burden of 30 minutes.

The ACASI instrument shall be created from non-proprietary software commonly available to Government and Industry, in compliance with the Government's desire for portability in applications. BJS retains all rights to the source code used to produce the instrument. Authoring software must be capable of producing a hard copy version of the ACASI interview instrument

and the associated audio files for purposes of explaining to the PM, BJS staff, and to the Office of Management and Budget (OMB) exactly how the ACASI instrument is being implemented. The Recipient shall make available to the PM a draft version of the ACASI instrument (installed in a field laptop) for evaluation within 10 months of the project start.

Both the ACASI and PAPI instruments and the survey methodology must comply with all applicable federal privacy and confidentiality laws, as well as federal regulations protecting human subjects who participate in federally funded research. To ensure compliance with federal regulations protecting human subjects, an Institutional Review Board must review and approve all data collection instruments prior to the use of the instrument in a field test.

3. Work collaboratively with the PM to develop effective procedures to obtain the informed consent of each survey respondent or where applicable law allows, the consent of a legally authorized representative prior to participation in the survey.

4. Conduct methodological field tests of the ACASI and PAPI instruments in samples of facilities. The PM shall provide to the Recipient a list of facilities to be used in the field test. The Recipient shall assist the PM in securing cooperation and coordination with each facility. The Recipient shall coordinate with each facility to ensure all field staff comply with facility regulations. The Recipient shall be responsible for all subsequent logistics related to field test activities, including obtaining consent from the appropriate source for sampled minor participants.

The field test shall include:

- (a). Cognitive tests of the ACASI and PAPI instruments. The tests shall occur within approximately 10 months of the project start. Up to 10 juvenile and youthful offender facilities will be included in the cognitive testing stage. Tests may occur in multiple waves to evaluate successive versions of the instruments. Within approximately one month of completion of the final cognitive tests, the Recipient shall provide to the PM an item-specific analysis of the instruments. The analysis should address the comprehension of the items by juvenile participants as well as the perceived reliability of the instruments as pertaining to the goals of the survey. The Recipient shall work in collaboration with the PM to revise both instruments as necessary. The procedures used for obtaining consent for participation of juveniles under age 18 will also be evaluated for efficiency and practicality.
- (b). Field tests of the ACASI and PAPI instruments. The field test shall occur within approximately 12 months of the project start. The field test will include at least 30 juvenile and youthful offender facilities: 10 State facilities, 10 local facilities, and 10 privately-operated facilities. Each of the three categories shall include long-term and short-term facilities, secure and non-secure facilities, and detained and committed youth facilities. Residents from within each facility will be

sampled systematically to achieve a total of 500 responses for the ACASI test instrument and 250 responses for the PAPI test. Within 2 months upon completion of the field tests, the Recipient shall provide to the PM a full electronic data file which has been appropriately cleaned and weighted. The Recipient shall also provide to the PM a written report consisting of an analysis of all aspects of the survey administration including: case management, training of field staff, procedures used to obtain informed consent, facility coordination, respondent cooperation, and other details related to the full field management of the survey.

5. Conduct a full criminal background check of all field representatives selected for facility entry during the cognitive and field testing stages. This check should include a search of State and Federal criminal records.

6. Modify the ACASI and PAPI instruments. In collaboration with the PM, the Recipient shall modify the ACASI and PAPI instruments utilizing results from the field tests to produce final instruments for use in the 2006 NPS-JSA.

7. Deliver to BJS electronic versions of the field test data in both raw and final forms, documentation, and the final instrument on diskette and in ASCII file format. Field test documentation should include, but is not limited to, a codebook detailing variable positions, data coding, variable and value labels, any recoding implemented during the data cleaning process, methods used for dealing with missing data, any data allocations, weights, imputation, or non-response adjustment, and copies of all program code used to generate the data. All data and source code generated by this project belong to BJS. Publication, presentation, or dissemination of the data in any form, prior to official release by BJS, is prohibited. All data and documentation from this survey may be posted on the BJS website, and archived at the Inter-University Consortium for Political and Social Research (ICPSR).

8. Develop a plan for national implementation of the 2006 NPS-JSA in collaboration with the PM. The national implementation plan must address all aspects of the data collection including, but not limited to:

- selection of respondents from the entire system of confined juveniles, public and private, State and local, including all residents
- characteristics unique to juvenile residents
- prior consent of administrator, parent, or guardian for juvenile participation
- sample design and facility selection
- contact procedures for selected facilities
- protocols for coordinating the data collection within sampled facilities
- techniques for obtaining high rates of participation by sampled facilities
- respondent selection and sampling procedures within sampled facilities
- techniques for obtaining high rates of cooperation from sampled respondents

- case management
- steps to ensure data and respondent confidentiality
- a methodology to address item and unit non-response, post-survey weighting specifications to produce facility and national-level estimates, and standard errors.

9. Conduct meetings and complete progress reports. Meetings between the PM and the Recipient will be scheduled as needed. Such meetings shall take place at a location mutually acceptable to both parties. Conference calls between BJS and project principals and the Recipient's Project Director shall be held at least once per month.

- The Recipient shall attend formal meetings or participate in conference calls during the development phase of the instrument, to be determined on an as needed basis.
- The Recipient shall submit to the PM quarterly progress reports including: (1) all activities performed during the quarter; (2) problems encountered and proposed or enacted solutions; (3) plans for the upcoming quarter; (4) a brief discussion of the expenditure of funds and a statement that indicates the percentage of funds that have been expended; (5) and a statement as to whether the project will be completed in accordance with the time frame specified in the delivery schedule and within the budgeted amount.

### **Additional Guidance**

1. Direct ACASI and PAPI experience (preferably with juvenile populations) is an essential component of the solicitation.
2. A clear project management structure and plan, project timeline, reasonable budget, and approach for the development of the national implementation plan are vital factors in making the final selection. The project management plan should include the responsibilities and activities of each principal staff member. The budget detail should provide direct linkage to the activities to be performed.
3. BJS intends to award the cooperative agreement to the entity that will perform all or most of the work directly. This will increase the ability to identify and solve problems more quickly and efficiently for the duration of the project by removing the logistical hurdles of coordinating communication across multiple organizations. All proposals should exclude formal panels of experts or consultants for this project, as BJS will assume responsibility for soliciting input from subject matter experts as the need arises.
4. BJS will not provide any incentives (money, food, or other privileges) to youth in exchange for their participation in the survey. All proposals should exclude incentives of any kind.

5. Proposals should include some flexibility with regard to experimental designs during the field test. Examples of experiments include, but are not limited to, embedding the sexual assault portion of the survey within a larger health care or victimization survey, incorporating a modular questionnaire to standardize the interview length (not to exceed 30 minutes) across respondents, or alternative sampling designs such as interviewing youth at time of discharge.

## **Evaluation Criteria**

The application must be submitted by June 10, 2004. Applications will be reviewed competitively with the final award decision made by the Director of BJS. The applicant will be evaluated on the basis of:

1. Demonstrated knowledge of applied research, with an emphasis on experience using ACASI methodology, including survey construction, interview techniques, data collection, data coding, entry, and verification, and the production of public use data files. This includes availability of an adequate computing environment, knowledge of standard social science data processing software, and demonstrated ability to produce SPSS readable data files for analysis and report production.
2. Demonstrated experience designing PAPI methodology, including survey construction, administrative techniques, and cognitive and field testing.
3. Demonstrated ability and experience in collecting data from incarcerated juvenile respondents, including the task of obtaining consent prior to interview.
4. Demonstrated fiscal, management, staff, and organizational capacity to provide sound management for this project.

The Project Narrative is not to exceed 30 double-spaced pages, 12-point font with 1 inch margins. Attachments may be added, but will not necessarily be consulted in the evaluation process. The Narrative shall include:

- a proposal including a project description detailing the activities as discussed in the Scope of Work
- a project timeline for deliverables including tentative dates for major milestones
- a description of the survey methodology to be used including data collection methods and data entry, documentation, and management procedures
- a summary of the budget including salaries of staff involved in the project and the portion of those salaries to be paid from the award, fringe benefits to be paid to each staff person, travel costs, supplies required for the project, sub-contractual agreements, and other allowable costs (the full budget can be detailed in the Budget Detailed Worksheet, Attachment #1 in the GMS)
- a description of key staff including a staff loading chart, by task and contract year,

showing the role and number of hours (per year) committed for proposed staff; identification of proposed key personnel and their qualifications for the significant functions in this project, along with concise descriptions of the duties each will perform under the agreement; and an identification by name of key personnel with decision-making authority (resumes can be sent separately and are not included within the 30 page limit).

## **Performance Measures**

1. Provide BJS online access to monitor the status of specific project benchmarks, to be negotiated between the parties.
2. Deliver the draft ACASI and PAPI survey instruments and case management systems within 10 months of the project start.
3. Identify techniques to achieve a high rate of participant response (75% of sampled respondents) during administration of the field tests.
4. Identify techniques to achieve a high item response rate (95%) during administration of the final field tests.
5. Deliver field test results within 2 months of completion of the field tests.
6. Deliver the national implementation plan and the final ACASI and PAPI survey instruments and case management systems 18 months after the project start.

## **Application Requirements**

All application for funding must be submitted electronically through the Office of Justice Programs Grants Management System (GMS).

For assistance in using GMS, please refer to:

GMS Application Procedures Handbook, a step-by-step guide for applying online [www.ojp.usdoj.gov/fundopp.htm](http://www.ojp.usdoj.gov/fundopp.htm) . An online Application procedures handbook is available on this page, and applicants may link directly to OJP's Grant Management System (GMS), which will provide online help screens or for technical assistance call the GMS Help Desk at 888-549-9901.

When applying for Federal funding, applicants must provide the following information:

## **Applicant Information**

Type of applicant



Employer Identification Number (EIN)  
Organization unit  
Legal jurisdiction name  
Address  
Contact person and phone number

**Project Information**

Title of Project  
Areas affected by project  
Proposed project period of performance  
Estimated funding request  
Congressional District

**Budget Detail Worksheet and Budget Narrative (Attachment #1).** Justification for all costs, including the basis for computation and how budgeted items relate to project activities. Not to exceed 10 pages.

**Program Narrative (Attachment #2).** Full description of the expected design and implementation of the proposed program. Specific program funding announcements will provide guidance on information to be submitted. Not to exceed 30 pages.

**Other Attachments (Attachment #3).** Other relevant information not contained in attachments 1 or 2 (abbreviated resumes, former projects, etc). Not to exceed 30 pages.

**Human Subjects Protection Certification of Compliance.** Certification of compliance with Federal regulation relating to research and statistical projects to ensure the protection for human subjects against undue and unnecessary risks.

**Privacy Certificate.** Certification of compliance with Federal regulation relating to the confidentiality of information identifiable to a private person collection for research and statistical purposes. Includes description of procedures to be followed to protect identifiable data.

**Assurances.** Applicants must comply with the assurances in order to receive Federal funds. It is the responsibility of the recipient of Federal funds to fully understand and comply with these requirements. Failure to comply may result in withholding of funds, termination of the award, or other sanctions.

Applicants must certify compliance with government-wide common rules relating to restrictions on lobbying; disbarment and suspension; and maintenance of a drug-free workplace.

**Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirement.** Applicants are required to review and check off

the box on the certification form included in their online application process. This form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, “New Restrictions on Lobbying,” and 28 CFR Part 67, “A Government-Wide Debarment and Suspension (Non-procurement) and Government-Wide Requirements for Drug-Free Workplace (Grants).”

Dated April 28, 2004

**Lawrence A. Greenfeld,**  
*Director, Bureau of Justice Statistics*